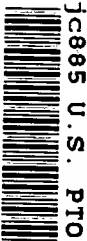


09/18/01



13c885 U.S. PTO

09/18/01 09/18/01 09/18/01

Please type a plus sign (+) inside this box → ☐Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. 6017.US.D1

First Inventor or Application Identifier Clark A. Briggs

Title See 1 in Addendum

Express Mail Label No. EL507385162US

**APPLICATION ELEMENTS**  
See MPEP chapter 600 concerning utility patent application contents.ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ \* Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 47]  
(preferred arrangement set forth below)
- Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 10]
4. Oath or Declaration [Total Pages 4]
- a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)
  - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Copy
  - b. ☒ Paper Copy (identical to computer copy)
  - c. ☒ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement of Power of Attorney  
(when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 [Copies of IDS Citations]
11. ☒ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
13. ☐ \* Small Entity Statement(s) [Statement filed in prior application  
(PTO/SB/09-12) Status still proper and desired]
14. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
15. ☒ Other: See 2 in Addendum

**\* NOTE FOR ITEMS 1 & 13 IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).****16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:**☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No. 08/771,737

Prior application information: Examiner Gucker, S. Group / Art Unit: 1646

**For CONTINUATION or DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**17. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name	Mimi C. Goller				
	Abbott Laboratories				
Address	Dept. 377, AP6D-2				
	100 Abbott Park Road				
City	Abbott Park	State	IL	Zip Code	60064-6050
Country		Telephone	US-847-935-7550	Fax	US-847-(38-2623)

Name (Print/Type)	Mimi C. Goller	Registration No. (Attorney/Agent)	39,046
Signature			Date 9/17/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

# FEE TRANSMITTAL

## for FY 2000

*Patent fees are subject to annual revision.*  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

**TOTAL AMOUNT OF PAYMENT** (\$840.00)

### Complete if Known

Application Number	
Filing Date	September 18, 2001
First Named Inventor	Clark A. Briggs
Examiner Name	S. Gucker
Group / Art Unit	1646
Attorney Docket No.	6017.US.D1

### METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 01-0025

Deposit Account Name: Abbott Laboratories

☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

2. ☐ Payment Enclosed:  
☐ Check ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
101 690	201 345	Utility filing fee	710.00
106 310	206 155	Design filing fee	
107 480	207 240	Plant filing fee	
108 690	208 345	Reissue filing fee	
114 150	214 75	Provisional filing fee	

**SUBTOTAL (1)** (\$ 710.00)

#### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
2	-20** = 0	18	0
2	-3** = 0	80	0
Multiple Dependent			0

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
103 18	203 9	Claims in excess of 20	
102 78	202 39	Independent claims in excess of 3	
104 260	204 130	Multiple dependent claim, if not paid	
109 78	209 39	** Reissue independent claims over original patent	
110 18	210 9	** Reissue claims in excess of 20 and over original patent	

**SUBTOTAL (2)** (\$ 0.00)

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	0.00
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	0.00
139 130	139 130	Non-English specification	0.00
147 2,520	147 2,520	For filing a request for reexamination	0.00
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	0.00
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	0.00
115 110	215 55	Extension for reply within first month	0.00
116 380	216 190	Extension for reply within second month	0.00
117 870	217 435	Extension for reply within third month	0.00
118 1,360	218 680	Extension for reply within fourth month	0.00
128 1,850	228 925	Extension for reply within fifth month	0.00
119 300	219 150	Notice of Appeal	0.00
120 300	220 150	Filing a brief in support of an appeal	0.00
121 260	221 130	Request for oral hearing	0.00
138 1,510	138 1,510	Petition to institute a public use proceeding	0.00
140 110	240 55	Petition to revive - unavoidable	0.00
141 1,210	241 605	Petition to revive - unintentional	0.00
142 1,210	242 605	Utility issue fee (or reissue)	0.00
143 430	243 215	Design issue fee	0.00
144 580	244 290	Plant issue fee	0.00
122 130	122 130	Petitions to the Commissioner	130.00
123 50	123 50	Petitions related to provisional applications	0.00
126 240	126 240	Submission of Information Disclosure Stmt	0.00
581 40	581 40	Recording each patent assignment per property (times number of properties)	0.00
146 690	246 345	Filing a submission after final rejection (37 CFR § 1.129(a))	0.00
149 690	249 345	For each additional invention to be examined (37 CFR § 1.129(b))	0.00
Other fee (specify)			0.00
Other fee (specify)			0.00

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ 130.00)

### SUBMITTED BY

Name (Print/Type)	Mimi C. Goller	Registration No. (Attorney/Agent)	39,046	Complete (if applicable)
Signature		Telephone	935-7550	Date
		9/17/01		

### WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Attachment to PTO/SB/05 (4/98) Utility Patent Application  
Transmittal

1. Variant Human Alpha7 Acetylcholine Receptor Subunit, and Methods of Production and Uses Thereof
2. - Request to Use Computer Readable Form from a Priority Application

FOIb0" 9E64566D

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: C. A. Briggs, *et al.*

Serial No.:

Group No.:

Filed: September 18, 2001

Examiner: S. Gucker

For: **Variant Human Alpha7 Acetylcholine Receptor Subunit, and Methods of Production and Uses Thereof**

**Box Patent Application**

**Assistant Commissioner for Patents**

**Washington, D.C. 20231**

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EL507385162US

Date of Deposit: September 18, 2001

I hereby state that the following *attached* paper or fee

Utility Patent Application Transmittal – 2 pgs.

Fee Transmittal, - 1 pg. (in duplicate)

Preliminary Amendment – 2 pgs.

Specification (39 pages); Claims (7 pages); Abstract (1 page); **Total: 47 pages**

Paper copy of Sequence Listing (5 pgs.)

Drawings – 10 pgs.

Executed Declaration and Power of Attorney (previously submitted) - 4 pages

Statement to Support Filings and Submission in Accordance with 37 CFR 1.821 through 1.825– 1 pg.

Request to Use Computer Readable Form from a Priority Application– 1 pg.

Two Return-Receipt Postcards

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10, on the date indicated above and is addressed to the Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.

Wanda E. Smith



Signature of person mailing paper or fee

(Express Mail Certificate)

0954936 094804

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: C. A. Briggs, *et al.*

Serial No.:

Filed: September 18, 2001

For: Variant Human Alpha7 Acetylcholine  
Receptor Subunit, and Methods of Production  
and Uses Thereof

Examiner: S. Gucker

Group Art Unit: 1646

Case No.: 6017.US.01

Date: September 17, 2001

Express Mail Mailing Label Number  
EL5073851621USI hereby certify that this paper (along with any  
paper referred to as being attached or enclosed) is  
being deposited with the United States Postal  
Service as Express Mail Post Office to Addressee  
Service under 37 C.F.R. 1.10 on the date shown  
below with sufficient postage addressed to the:Commissioner of Patents & Trademarks  
Box: Patent Application  
Washington, D.C. 20231, on:Date of Deposit: September 18, 2001Wanda E. Smith 9/18/01  
Wanda E. Smith Date**REQUEST TO USE COMPUTER READABLE FORM  
FROM A PRIORITY APPLICATION**Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

The computer readable form in this application is identical with that submitted in the parent application, U.S. Serial No. 08/771,737, the specification of which was filed on December 20, 1996. In accordance with 37 C.F.R. 1.821(e), Applicants request that the same computer readable form, which was submitted in the parent application on December 20, 1996, be used as the computer readable form for the instant application. Applicants understand that the Patent and Trademark Office will make the necessary change in application number and filing date for the computer readable form that will be used for the instant application. A paper copy of the Sequence Listing is included in the specification. A statement to support the filings and submissions in accordance with 37 C.F.R. §1.821-1.825 is also included.

Respectfully submitted,  
C. A. Briggs, *et al.*

ABBOTT LABORATORIES  
D-0377/AP6D-2  
100 Abbott Park Road  
Abbott Park, Illinois 60064-6050  
Telephone: (847) 935-7550  
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Mimi C. Goller  
Mimi C. Goller  
Registration No. 39,046  
Attorney for Applicants

T08T60" 9E6H5660



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
02/22/97	12/20/96	BRIGGS	

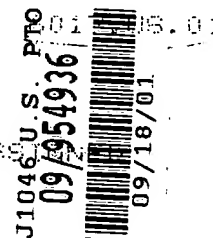
STEVEN F WEINSTOCK  
AGSUTY LABORATORIES  
2-377 ADEN  
100 ABBOTT PARK ROAD  
ABBOTT PARK IL 60064-3500

0212/0222

NOT A39

DATE MAILED:

0000



02/22/97

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. However, the items indicated below are missing. The required items and fees identified below must be timely submitted ALONG WITH THE PAYMENT OF A SURCHARGE for items 1 and 3-6 only of \$ 130 for a ☒ large entity ☐ small entity in compliance with 37 CFR 1.27. The surcharge is set forth in 37 CFR 1.16(e). Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required above to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☒ large entity ☐ small entity (verified statement filed), is \$ 130.

☒ 1. The statutory basic filing fee is:

- ☐ missing.
- ☐ insufficient.

Applicant must submit \$ \_\_\_\_\_ to complete the basic filing fee and/or file a verified small entity statement claiming such status (37 CFR 1.27).

☐ 2. Additional claim fees of \$ \_\_\_\_\_, including any multiple dependent claim fees, are required. Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☐ 3. The oath or declaration:

- ☐ is missing.
- ☐ does not cover the newly submitted items.
- ☐ does not identify the application to which it applies.
- ☐ does not include the city and state or foreign country of applicant's residence.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☒ 4. The signature(s) to the oath or declaration is/are:

- ☒ missing.
- ☐ by a person other than inventor or person qualified under 37 CFR 1.42, 1.43, or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$ \_\_\_\_\_ processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application does not comply with the Sequence Rules.

See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."

☐ 9. OTHER:

Direct the response and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the response.**